

8-15-01 A

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

CERTIFICATE OF EXPRESS MAILING

This transmittal and the documents and/or fees itemized
whereon and attached hereto have been deposited as "Express
Mail Post Office to Addressee" in accordance with 37 C.F.R.
§ 1.110 with Express Mail Mailing Label Number:
EL831642386US

Attorney Docket No.: 60021.375702

First Named Inventor:

SLOAN, Ronald E.

UTILITY PATENT APPLICATION TRANSMITTAL (37 CFR. § 1.53(b))
(Continuation application)

Commissioner for Patents
Box Patent Application
Washington, DC 20231

☐ Duplicate for
fee processing

Sir: This is a request for filing a patent application under 37 CFR. § 1.53(b) in the name of inventors:
Ronald E. Sloan and Stephen B. Slutsky

For: **COMMUNICATION INTERFACE FOR A FINANCIAL MODELING AND COUNSELING
SYSTEM**

This application is a ☒ Continuation ☐ Divisional ☐ Continuation-in-part
of prior Application No.: 09/705,290 filed on November 1, 2000; 09/431,389 filed on November 1, 1999;
09/452,273 filed on November 30, 1999; and 09/579,849 filed on May 25, 2000 from which priority under
35 U.S.C. § 120 is claimed.

Application Elements:

☒ 43 Pages of Specification, Claims and Abstract

☒ 14 Sheets of **formal/informal** Drawings

☒ 02 Declaration

☐ Newly executed (original or copy)

☒ Copy from a prior application (37 CFR 1.63(d) for a continuation or divisional).
The entire disclosure of the prior application from which a copy of the declaration is
herein supplied is considered as being part of the disclosure of the accompanying
application and is hereby incorporated by reference therein.

☐ Deletion of inventors Signed statement attached deleting inventor(s) named in
the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).

Accompanying Application Parts:

1/13/03
P88
1 1/2 HA

- ☐ Assignment and Assignment Recordation Cover Sheet (recording fee of \$40.00 enclosed)
- ☐ Power of Attorney
- ☐ 37 CFR 3.73(b) Statement by Assignee
- ☐ Information Disclosure Statement with Form PTO-1449 ☐ Copies of IDS Citations
- ☐ Preliminary Amendment (*New claims numbered after highest original claim in prior application.*)
- ☒ Return Receipt Postcard
- ☐ Other:

Claim For Foreign Priority

- ☐ Priority of _____ Application No. _____ filed on _____ is claimed under 35 U.S.C. § 119.
- ☐ The certified copy has been filed in prior application U.S. Application No. _____
- ☐ The certified copy will follow.

Extension of Time for Prior Pending Application

- ☒ A Petition for Extension of Time for the Response to Notice to File Missing Parts is being concurrently filed in the prior pending application. A copy of the Petition for Extension of Time is attached.

Amendments

- ☒ Amend the specification by inserting before the first line the sentence: "This is a
- ☒ Continuation ☐ Continuation-in-part ☐ Divisional application of copending prior
- ☒ Application No. 09/705,290 filed on November 1, 2000,
- ☐ International Application _____ filed on _____ which designated the United States, the disclosure of which is incorporated herein by reference."

- ☐ Cancel in this application original claims _____ of the prior application before calculating the filing fee. (*At least one original independent claim must be retained.*)

Fee Calculation (37 CFR § 1.16)

| | (Col. 1) NO. FILED | (Col. 2) NO. EXTRA | SMALL ENTITY RATE FEE | OR | LARGE ENTITY RATE FEE |
|---|-----------------------|-----------------------|--------------------------|----|--------------------------|
| BASIC FEE | | | \$345 \$ | OR | \$710 \$710.00 |
| TOTAL CLAIMS | 24 -20 = 04 | | x09 = \$ | OR | x18 = \$ 72.00 |
| INDEP CLAIMS | 03 -03 = 00 | | x40 = \$ | OR | x80 = \$ |
| [] Multiple Dependent Claim Presented | | | \$130 = \$ | OR | \$260 = \$ |
| * If the difference in Col. 1 is less than zero, enter "0" in Col. 2. | | | Total \$ | OR | Total \$782.00 |

☐ Check No. _____ in the amount of \$ _____ is enclosed.

☒ The Commissioner is authorized to charge any fees which may be required, or to credit any overpayment, to Deposit Account No. 50-0797 (Order No. 60021.375702).

General Authorization for Petition for Extension of Time (37 CFR §1.136)

☒ Applicants hereby make and generally authorize any Petitions for Extensions of Time as may be needed for any subsequent filings. The Commissioner is also authorized to charge any extension fees under 37 CFR §1.17 as may be needed to Deposit Account No. 50-0797 (Order No. 60021.375702).

☒ Please send correspondence to the following address:

OPPENHEIMER WOLFF & DONNELLY, LLP

**1400 Page Mill Road
Palo Alto, California 94304
(650) 320-4358 telephone
(650) 320-4200 facsimile**

Date: August 13, 2001



Rambod Nader
Registration No. **47,262**

SV: 221389 v01 08/13/2001

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the application of

SLOAN et al.

Application No. 09/705,290

Filed: November 1, 2000

For: COMMUNICATIONS INTERFACE FOR A
FINANCIAL MODELING AND
COUNSELING SYSTEM

Examiner: Not assigned

Group Art Unit: Not assigned

Date: August 13, 2001

COPY

COPY

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with
the United States Postal Service as First Class Mail to:
Commissioner for Patents, Washington, D.C. 20231 on
August 13, 2001.

Signed: 

Yvonne Mock

RESPONSE TO NOTICE TO FILE MISSING PARTS

Commissioner for Patents
BOX: MISSING PARTS
Washington, DC 20231

Sir:

Enclosed herewith are the original, executed Declaration and Power of Attorney for Patent Application and Assignment and Assignment Recordation Sheet in response to the Notice to File Missing Parts of Application--Filing Date Granted mailed January 22, 2001. Please file these documents in the subject application.

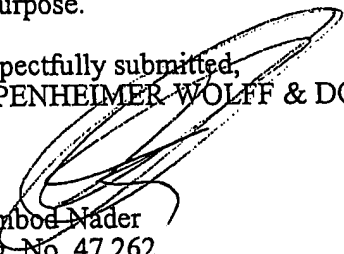
Applicant hereby requests a five-month extension of time to August 22, 2001 in which to respond to Notice to File Missing Parts of Application--Filing Date Granted mailed January 22, 2001. The Commissioner is authorized to charge the following fees and any other fees that are due to our Deposit Account No. 50-0797 (Order No. 60021.375701):

| | |
|-------------------------------|------------------|
| 1) Filing Fee | \$ 710.00 |
| 2) Assignment Recordation Fee | \$ 40.00 |
| 3) Four excess claims | \$ 72.00 |
| 3) Five-month Extension Fee | \$1890.00 |
| 4) Missing Parts Surcharge | \$ 130.00 |
| Total | <u>\$2842.00</u> |

11046 U.S. PTO
09/929735
08/13/01

A copy of this sheet is enclosed for this purpose.

Respectfully submitted,
OPPENHEIMER WOLFF & DONNELLY, LLP


Ramboe Nader
Reg. No. 47,262

COPY

1400 Page Mill Road
Palo Alto, CA 94304
Phone: (650) 320-4358
Fax: (650) 320-4200